



West of Scotland Housing Association

Board Code of Conduct

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Introduction

1. The role and purpose of the Board of the West of Scotland Housing Association (“the Association”) is to direct the affairs of the Association concentrating on issues of a strategic nature and performance. In order to achieve this, it is essential that high standards of governance and ethical behaviour are demonstrated by all of our people and in all of our activities.

1.1 We attach the greatest importance to ensuring that high standards of governance and ethical behaviour are demonstrated by all of our people and in all of our activities.

1.2 This Code of Conduct sets out the requirements and expectations which are attached to your role as a member of our Board. You have a personal responsibility to uphold the requirements of this Code. You cannot be a member of the Board if you do not agree to adopt this Code of Conduct. To confirm that you understand its requirements and accept its terms, you must review and sign this Code annually.

1.3 As a Registered Social Landlord (RSL), we are required to adopt and comply with an appropriate Code of Conduct¹. This Code is based on the Model Code of Conduct produced by the Scottish Federation of Housing Associations. The Scottish Housing Regulator (SHR) has confirmed that this Code fully complies with its Regulatory Standards and their input during the production of this code is acknowledged.

1.4 This Code of Conduct is an important part of our governance arrangements. Members of the Board are responsible for ensuring that they are familiar with the terms of this Code and that they always act in accordance with its requirements and expectations. Board Members must always ensure their actions accord with the legal duties of the RSL and with regulatory guidance. You must also ensure you are familiar with any policies which are linked to this code.

1.5 If a member of the Board appears to have breached any part of this Code, the matter will be investigated in accordance with the procedures set out at (Appendix 2). A breach of this Code may result in action being taken by the Board to remove the member(s) involved.

Who the Code applies to

2.1 This Code of Conduct applies to all elected, appointed and co-opted members of the Board of the Association and its sub-committees and to the Board of Willowacre Trust.

¹ Scottish Housing Regulator (2012) Regulatory Framework, Regulatory Standard 5.2 available: [here](#)

How the Code is structured

3.1 The Code is based on the seven principles which are recognised as providing a framework for good governance. They demonstrate honesty, integrity and probity.²

Each principle is described, as it applies to the activities of a RSL and its Board Members, and supporting guidance is offered for each to provide more explanation of the Code's requirements. The guidance is not exhaustive and it should be remembered that Board Members and RSLs are responsible for ensuring that their conduct at all times meets the high standards that the RSL sector is recognised for upholding.

The Principles

4.1 The seven principles and what they mean for the purposes of this Code are:

A. Selflessness (page 4)

B. Openness (page 5)

C. Honesty (page 6)

D. Objectivity (page 7)

E. Integrity (page 8)

F. Accountability (page 9)

G. Leadership (page 10)

² Committee for Standards in Public Life 1994, [Nolan Principles on Standards in Public Life](#)

A. Selflessness: You must act in the best interests of the Association at all times and must take decisions that support and promote our strategic plan, aims and objectives. Members of the Board should not promote the interests of a particular group or body of opinion to the exclusion of others.

A.1 You must always uphold and promote our aims, objectives and values and act to ensure their successful achievement.

A.2 You should exercise the authority that comes with your role as a Board member responsibly and not seek to use your influence inappropriately or for personal gain or advantage.

A.3 You must accept responsibility for all decisions properly reached by the Board (or a sub-committee or working group with appropriately delegated responsibility) and support them at all times, even if you did not agree with the decision when it was made.

A.4 If you are unable to support in public a decision that has been properly reached by the Board, you should resign.

A.5 You must consider the views of others and be tolerant of differences.

A.6 You must not seek to use your position to influence decisions that are the responsibility of staff (e.g. granting a tenancy, ordering a repair, awarding a contract).

A.7 You must not seek to use your influence for the benefit of yourself or your business interests, or the benefit of someone to whom you are closely connected³ or their business interests.

A.8 Mobile phones should be switched off during meetings, seminars, training courses etc.

³ See Appendix 1, Table A for definition of closely connected

B. Openness: You must be transparent in all of your actions; you must declare and record all relevant personal and business interests and must be able to explain your actions.

B.1 You should exercise reasonable skill and care in the conduct of your duties.

B.2 You should avoid any situation that could give rise to suspicion or suggest improper conduct.

B.3 You must declare any personal interest(s) and manage openly and appropriately any conflicts of interest and observe the requirements of our policy on the matter.

B.4 You must not accept any offers of gifts or hospitality from individuals or organisations which might reasonably create – or be capable of creating – an impression of impropriety, influence or place you under an obligation to these individuals or organisations. You must comply with our policy on the matter.

B.5 You must ensure that you are informed about the views, needs and demands of tenants and service users and that your decisions are informed by this understanding.

B.6 You must ensure that the organisation is open about the way in which it conducts its affairs and positive about how it responds to requests for information.

B.7 You must not prevent people or bodies from being provided with information that they are entitled to receive.

C. Honesty: You must ensure that you always act in the best interests of the organisation and that all activities are transparent and accountable.

C.1 You should always act in good faith when undertaking your responsibilities as a Member of our Board.

C.2 You should use your skills, knowledge and judgement effectively to support our activities.

C.3 You should ensure that decisions are always taken and recorded in accordance with our Rules and procedures.

C.4 You must ensure that the organisation has an effective policy and procedures to enable, encourage and support any staff or Board member to report any concerns they have about possible fraud, corruption or other wrongdoing.⁴

C.5 You must report any concerns or suspicions about possible fraud, corruption or other wrongdoing to the appropriate senior person within the organisation in accordance with our whistleblowing policy.

C.6 You must not misuse, or contribute to or condone the misuse of our resources and must comply with our policies and procedures regarding the use of its funds and resources.⁵

C.7 We forbid all forms of bribery, meaning a financial or other advantage or inducement intended to persuade someone to perform improperly any function or activity. You are not allowed to accept or give bribes from/to anyone, and must comply with our policy on bribery. You are also obliged to report any instances of suspected bribery within the organisation or any of its business partners.

C.8 You, or someone closely connected to you (see Appendix 1, p14), cannot as a result of your role with us receive preferential treatment relating to any services provided by the organisation or its contractors/suppliers, and you should be able to demonstrate this.

⁴ These concerns might include, but are not confined to, suspected fraud, dishonesty, breach of the law, poor practice, non-compliance with regulatory requirements, misconduct, breach of this code.

⁵ Resources include people, equipment, buildings, ICT, funds, knowledge, stationery, transport

D. Objectivity: You must consider all matters on their merits; you must base your decisions on the information and advice available and reach your decision independently.

D.1 You must ensure that the decisions that you take are consistent with our aims and objectives and with the relevant legal and regulatory requirements (including those of the Scottish Housing Regulator, the Office of the Scottish Charity Regulator, the Financial Conduct Authority and the Care Inspectorate).

D.2 You must prepare effectively for meetings and ensure you have access to all necessary information to enable you to make well-informed decisions.

D.3 You must monitor performance carefully to ensure that the organisation's purpose and objectives are achieved, and take timely and effective action to identify and address any weaknesses or failures.

D.4 You should use your skills, knowledge and experience to review information critically and always take decisions in the best interests of the organisation, our tenants and our service users.

D.5 You should ensure that the Board seeks and takes account of additional information and external/independent advice where necessary and/or appropriate.

D.6 You should ensure that effective policies and procedures are implemented so that all decisions are based on an adequate assessment of risk, deliver value for money, and ensure the financial well-being of the organisation.

D.6 You should contribute to the identification of training needs, keep your housing and related knowledge up to date, and participate in training that is organised or supported by us.

E. Integrity: You must actively support and promote our values; you must not be influenced by personal interest in exercising your role and responsibilities.

E.1 You must always treat your Board colleagues, our staff and their opinions with respect.

E.2 You must always conduct yourself in a courteous and professional manner; you must not, by your actions or behaviour, cause distress, alarm or offence.

E.3 You must declare any personal interests in accordance with this Code (see Appendix 1); in the event that you have a continuing personal interest which conflicts with our activities, values, aims or objectives, you should resign.

E.4 You must ensure that you fulfil your responsibilities as they are set out in the relevant role description; that you maintain relationships that are professional, constructive and that do not conflict with your role as a member of the Board.

E.5 You must uphold our equality and diversity, whistleblowing and acceptable use⁶ policies.

E.6 You must respect confidentiality and ensure that you do not disclose information to anyone who is not entitled to receive it, both whilst you are a member of the Board and after you have left.

E.7 You must observe and uphold the legal requirements and our policies in respect of the storage and handling of information, including personal and financial information.

E.8 You must not make inappropriate or improper use of, or otherwise abuse, our resources or facilities and must comply with our policies and procedures regarding the use of its funds and resources.

E.9 You must not seek or accept benefits, gifts, hospitality or inducements in connection with your role as a member of our Board, or anything that could reasonably be regarded as likely to influence your judgement. You must not benefit, or be perceived to benefit, inappropriately from your involvement with the organisation and must comply with our policies on the matter.

⁶ This relates to the use of ICT, social media and networking, facilities etc., and is specific to each individual RSL.

F. Accountability: You must take responsibility for and be able to explain your actions, and demonstrate that your contribution to our governance is effective.

F.1 You must observe and uphold the principles and requirements of the SHR's Regulatory Standards of Governance and Financial Management, guidance issued by the SHR and other regulators, and ensure that The Associations legal obligations are fulfilled.

F.2 You must ensure that we have effective systems in place to monitor and report its performance and that corrective action is taken as soon as the need is identified.

F.3 You should contribute positively to our activities by regularly attending and participating constructively in meetings of the Board, its committees and working groups.

F.4 You should always be courteous and polite and behave appropriately when acting on our behalf.

F.5 You must participate in and contribute to an annual review of the contribution you have made individually to our governance.

F.6 You must ensure that there is an appropriate system in place for the support and appraisal of our Senior Officer and that it is implemented effectively.

F.7 You must not speak or comment in public on our behalf without specific authority to do so.

F.8 You must co-operate with any investigations or inquiries instructed in connection with this Code.

F.9 You recognise that the Board as a whole is accountable to its tenants and service users, and you reflect this in your actions as an individual.

G. Leadership: You must uphold our principles and commitment to delivering good outcomes for tenants and other service users, and lead the organisation by example.

G.1 You must ensure that our strategic aims, objectives and activities deliver good outcomes for tenants and service users. You must ensure that you make an effective contribution to our strategic leadership.

G.2 You must ensure that our aims and objectives reflect and are informed by the views of tenants and service users.

G.3 You must always be a positive ambassador for the organisation.

G.4 You must participate in and contribute to the annual review of the Board's effectiveness and help to identify and attain the range of skills that we need to meet our strategic objectives.

G.5 You must not criticise the organisation or our actions in public.

G.6 You must not criticise staff in public; any staffing related matters should be discussed privately with the Chair and/or Senior Officer.

G.7 You must not use social media to criticise or make inappropriate comments about the organisation, its actions or any member of the Board, staff or other partners.

G.8 You must not act in a way that could jeopardise our reputation or bring us into disrepute.⁷

⁷ This includes activities on social media, blogs and networking sites.

Declaring and Managing Personal Interests

- 5.1 Where you have a personal, business or financial interest in any matter that is relevant to our activities or is being considered (or is likely to be considered), or you know that someone to whom you are closely connected has such an interest, you must declare it promptly and record it in our Register of Interests.
- 5.2 You must keep your entry in the Register of Interests complete, accurate and up to date.
- 5.3 More details and examples are included at Appendix 1 (p12-15).

Breach of this Code

6.1 Each member of the Board has a personal and individual responsibility to promote and uphold the requirements of this Code. If any member of the Board believes that they may have breached the Code, or has witnessed or has become aware of a potential breach by another member, they should immediately bring the matter to the attention of the Chair.

6.2 Alleged breaches of the Code of Conduct will be dealt with by the Chair, with the support of the Senior Officer where appropriate. Where the allegation of a breach is against the Chair, the Vice-Chair will be responsible for leading the investigation. The procedure for dealing with alleged breaches is described in the accompanying protocol.

6.3 Each member of the Board has a duty to co-operate with and contribute to any investigation relating to the Code of Conduct

Review

7.1 This Code of Conduct was adopted by the Board on 25th October 2017. It will be reviewed not later than December 2020.

Acceptance

I _____ have read and understood the terms of this Code of Conduct and I agree to uphold its requirements in all my activities as a member of our Board. I am aware that I must declare and manage any personal interests. I agree to review all relevant Registers regularly to ensure that all entries relating to me are accurate. I understand that, if I am found to have breached this Code of Conduct, action will be taken by the Board which could result in my removal.

Signed _____

Date _____

Declaring and Managing Personal Interests

1. Introduction

- 1.1 Being a member of our Board is of course only one part of your life. Other aspects of your life - such as family, friends and neighbours, voluntary work, causes you support, possibly business or financial interests, possibly your own housing arrangements - may have the potential to cross over into your role as a Board Member.
- 1.2 However, as we are an organisation that works for the community [and uses public funds], it is essential that there is no conflict - and that there can be no reasonable perception of conflict - between your duties as a Board Member and your personal (or personal business or financial) interests.
- 1.3 Any potential conflict between your position as a member of Board and your other interests must be openly declared and effectively managed so as to protect the good reputation of The Association and the RSL sector.
- 1.4 Where you have a personal business or financial interest in any matter that is relevant to our activities or is being considered (or is likely to be considered) or you know that someone to whom you are closely connected has such an interest, you must declare it promptly and record it in the Register of Interests.
- 1.5 This Appendix gives further guidance on how to declare and manage any personal (including personal business or financial) interests.

2. Examples of interests that must be declared

- 2.1 The following are examples of the kind of interest that you must declare. Please note that this list is not exhaustive, and there may be other interests that you should also declare.
 - Tenancy of a property (by you or someone to whom you are closely connected) of which we are the landlord.
 - Occupancy or ownership of a property (by you or someone to whom you are closely connected) which is factored or receives property related services from us.
 - Receipt of care or support services from us.
 - Membership of a community or other voluntary organisation that is

active in the area(s) we serve.

- Voluntary work with another RSL or with an organisation that does, or is likely to do, business with us.
- Membership of the Board of another RSL.
- Being an elected member of any local authority where we are active.
- If you purchase goods or services from us.
- If you purchase goods or services from one of our approved contractors or Framework Agreement partners.
- Significant shareholding in a company that we do business with.
- Membership of a political, campaigning or other body whose interests and/or activities may affect our work or activities.
- Ownership of land or property in our areas of operation excluding for the purpose of your own residential use (i.e. there is no requirement for you to declare any house in which you currently live).
- Unresolved dispute relating to the provision of services in connection with a tenancy or occupancy agreement or a contractual dispute over the provision of goods or services with us.

2.2 If you are not sure whether a certain matter needs to be declared, you must seek guidance from the Chair or CEO. If doubt remains, the advice would always be to declare the matter.

2.3 You should note that in some circumstances, declaration of an interest may not be sufficient, and that it may be necessary for the organisation to take additional measures to deal satisfactorily with the situation so as to protect the probity and reputations of both yourself and the organisation.

3. Definition of 'close connection'

3.1 Someone 'closely connected' to you includes family members and persons who might reasonably be regarded as similar to family members even where there is no relationship by birth or in law.

3.2 The following table outlines those who you should consider when declaring interests:

Table A

| Group 1 Members of your household | Group 2 People closely associated with you | Group 3 Others you need to consider |
|--|--|--|
| Anyone who normally lives as part of your household, whether they are related to you or not, including spouses/partners who work away from home and sons and daughters who are studying away from home | <ul style="list-style-type: none"> • Parents, parents-in-law and their partners • Sons and daughters; stepsons and step-daughters and their partners • Brothers and sisters and their partners • A partner's parent, child, brother or sister • Grandparents, grandchildren and their partners • Someone who is dependent on you or whom you are dependent on • Close friends | <p>Other relatives (e.g. uncles, aunts, nieces, nephews & their partners)</p> <p>Other friends (e.g. someone you are acquainted with socially, neighbours, business contacts/associates)</p> |

- 3.3 If you become aware of any action or involvement relating to **anyone** in the table then you should declare and manage this as soon as possible.
- 3.4 However, we recognise that you will not always be closely acquainted with or in regular contact with all of the people listed and we do not expect you to go to unreasonable lengths to identify actions or involvement that are covered by this policy.
- 3.5 Please note, we do expect you to be familiar with the actions of members of your household (Group 1) and of any other people listed in the table above with whom you are closely associated and/or in regular contact and you must take steps to identify, declare and manage these.
- 3.6 **You are not expected to be aware of the actions of people in groups 2 and 3 that you do not have a close association and/or regular contact with.** We do not expect you to research into the employment, business interests and other activities of all persons with whom you are closely connected.
- 3.7 In relation to 3.3 – 3.6 above, when considering your actions you should do so from the point of view of a reasonable and objective observer.

4. Declaring personal interests

- 4.1 Declaration of Interest forms will be sent annually and are required to be completed by all members of committee.
- 4.2 You must keep your entry in the Register of Interests up to date, add any new interests as soon as they arise, and amend existing interests as soon as any change takes effect.
- 4.3 A situation may arise where you are invited to be present at a meeting where a matter in which you have a personal (or a personal business or financial) interest is discussed. In such cases you must inform the meeting chair at the start of the meeting, or as soon as you become aware that this is the case. You would then be required to leave the meeting for the duration of the particular item. If in any doubt, you should ask the meeting chair or another senior person present for guidance. This applies to all meetings that you attend as a member of our Board – both internal and external.
- 4.5 Any failure to make a complete, accurate and prompt declaration - whether deliberately or through taking insufficient care - will be regarded as a breach of this Code.

Appendix 2: Dealing with Concerns over the conduct of Board Members

1 Introduction

This document and associated flowchart outlines the process for Board Members to follow when dealing with concerns in relation to the conduct of another Board member. The process allows Board members to resolve any issues which arise through discussion between the parties involved or by referring the issue to the Chair and adopting either an informal process or a formal approach.

2 Informal Process

- 2.1 If a Board Member has concerns in relation to the conduct of another Board member, including the Chair, and wishes to resolve this informally with the Board member in question, they may discuss their concerns with the Board member concerned informally and resolve any issues between themselves.
- 2.2 If the issues are resolved between the Board members, this is not considered to be a potential breach of the Code of Conduct (the Code) and we are not required to notify the Scottish Housing Regulator.
- 2.3 This process should be used for relatively minor concerns in relation to conduct or misunderstandings between Board members. For any concerns relating to more serious conduct issues a more formal route may be followed as detailed below.
- 2.4 If the issues/concerns are not resolved using the Informal process one of the two routes below should be followed.

3 Discussion with Chair (Route 1)

- 3.1 If a Board Member has concerns about the conduct of another Board member (with the exception of the Chair) and they do not feel that they can discuss it with the relevant Board member or they feel the concerns are serious, they can discuss these concerns with the Chair of the Board.
- 3.2 The Chair in conjunction with office bearers have delegated authority to determine if there is a potential breach of the Code.
- 3.3 If the Chair considers there has been a potential breach of the Code, it becomes a formal complaint as outlined in Section 4 of this document and the Chair will follow the 'Dealing with Breach' Protocol (Appendix 3). This is a notifiable event to the Scottish Housing Regulator. The Chair will instruct the Company Secretary to process the formal notification via the Landlord Portal.
- 3.4 If the Chair does **not** believe there has been a potential breach of the Code, the Chair will either facilitate or arrange mediation between the parties involved to resolve the issue. In this instance there is no requirement to notify the SHR.

If the mediation does not resolve the issue, the process should be escalated to Route 2.

4 Formal Complaint (Route 2)

4.1 If a Board Member has concerns about the conduct of another Board member and believes the conduct is a **serious** breach of the Code, as outlined in section A27 of the Dealing with Breach Protocol, or believes a formal process is necessary, they should raise a complaint with the Chair confirming the section of the Code they believe has been breached. This can be done verbally or in writing.

4.2 The Chair will follow the 'Dealing with Breach' Protocol (Appendix 3) and the SHR will be notified following the Notifiable Events procedure.

5 Concerns about the Conduct of the Chair - Informal Process

5.1 This process will be used for minor concerns in relation to conduct or misunderstandings. For any concerns around more serious conduct issues a formal route will be followed as detailed in sections 5.2 - 5.6

Discussion with Board (Route 1)

5.2 If a Board Member has concerns about the conduct of the Chair and they do not feel they can discuss it with the Chair or they believe their concerns are serious, they may discuss these concerns with the Vice Chair who will refer their concerns to the Board.

5.3 The Board will determine whether there is a potential breach of the Code. If the Board determines there is a potential breach of the Code, a Sub Committee of the Board will be established to oversee the investigation process. The 'Dealing with Breach' Protocol (Appendix 3) will be followed and the SHR will be notified. No one who has any involvement in the complaint or the circumstances surrounding may play any part in the investigation. The Sub Committee will investigate the potential breach and make a recommendation to the full Board.

5.4 If the Board determines there has **not** been a potential breach of the Code, the Board will facilitate or arrange mediation between the parties involved to resolve the issue. In this instance there is no requirement to notify the SHR.

5.5 If the mediation does not resolve the issue, the process will be escalated to Route 2.

Formal Complaint (Route 2)

5.6 If a Board Member has concerns about the conduct of the Chair and believes the conduct constitutes a serious breach of the Code, they should raise a complaint to the Vice Chair confirming the section of the Code that has been breached. This can be done either verbally, in which case a statement outlining the nature of the complaint will be recorded by the Company

Secretary, or in writing. Following receipt of the complaint, the Vice Chair will refer the issue to the Board. The Board should establish a Sub Committee to oversee the investigation and should follow the 'Dealing with Breach Protocol and notify the SHR.

Appendix 3:

Protocol for Dealing with a Breach of the Code of Conduct

- A.1** This procedure sets out the arrangements that normally apply to potential breaches of the Code of Conduct, which are defined as follows:
- a) Breaches of the Code of Conduct (the Code) that occur during a meeting and involve a member being obstructive, offensive or disregarding the authority of the Chair
 - b) Other complaints about the conduct of a Member of the Board
 - c) Information that suggests that there may have been a breach of the Code by a member of the Board.
- A.2** The Chair, in consultation with other office-bearers, has delegated authority to deal with potential breaches of the Code and to instruct; progress and conclude investigations carried out in accordance with this protocol.
- A.3** A breach of the Code is a Notifiable Event, The Chair is responsible for ensuring the necessary notifications are made to the Scottish Housing Regulator as soon as a potential breach is established, and that the SHR's requirements (as set out in the relevant guidance⁸) in terms of reporting the outcome of the investigation are met.
- A.4** The process for managing potential breaches of the Code involving the Chair is outlined at section A22-A25.

Conduct at meetings

- A.5** Alleged breaches of the code that occur during the course of a meeting (and which have not happened before) will normally be dealt with by the Chair or sub-committee Convenor, either during the meeting and/or within 24 hours of the meeting. In these circumstances, the Chair may ask the member to leave the meeting or a vote may be taken to exclude the member from the rest of the meeting. After the meeting, the Chair or sub-committee Convenor will discuss such behaviour with the member and may require the member to apologise or take such other action as may be appropriate. Where the Chair regards such behaviour as being very serious, it may also be investigated subsequently in accordance with the terms of this protocol, as will repeated incidents of a similar nature.

Other Complaints

- A.6** It is recognised that potential breaches of the Code may occur outwith the Association's premises (e.g. whilst a Board member is at an external meeting, attending a training event or conference or otherwise representing us, or whilst engaging in social networking). Potential breaches may also involve inappropriate conduct in relation to colleagues, staff or service users.

⁸ Scottish Housing Regulator, April 2012, [Notifiable Events Guidance](#).

Potential breaches may also involve failure to follow the requirements of an approved policy.

- A.7** A potential breach of the Code, including repeated instances of poor conduct at meetings, will normally be the subject of an investigation, which will be managed by the Chair.
- A.8** Not all potential breaches will be the subject of complaints or allegations. Where they are, they do not have to be made in writing but the Chair and Secretary/Senior Officer should ensure that there is always a written statement of the complaint or allegation that is used as the basis for the investigation.
- A.9** In the event that an allegation is made anonymously, it will be investigated as thoroughly as possible, although it is recognised that it may not be possible to conclude any such investigation satisfactorily.

Investigation of a potential breach

- A.10** Allegations of a breach should normally be made to the Chair. The Chair in consultation with the Office Bearers, will decide whether to instruct an independent investigation or whether to carry out an internal investigation. No one who has any involvement in the complaint or the circumstances surrounding it may play any part in the investigation.
- A.11** A potential breach of the Code (other than a potential breach that involves the Chair) will be notified to the Board by the Company Secretary within seven working days of receipt of the complaint. The notice will include a report on the proposed arrangements for investigation, but will not describe the detail of the complaint, and a recommendation of a suitable person to carry out the investigation. This recommendation should be made by the Chair who may seek advice from our solicitors. If the allegation relates to the Chair, the Vice Chair will make the recommendation to the Board for consideration and action and provide the necessary information to the Company Secretary to complete the notice.
- A.12** All investigations will be objective and impartial. A potential breach of the Code will normally be investigated by an independent person, unless it is decided that an internal investigation is appropriate (as set out at A9).
- A.13** An internal investigation will be carried out by three Members of the Board, not including the Chair, who will present a report and recommendations to the Board. They will be supported in the conduct of the investigation by the Company Secretary.
- A.14** An independent investigation will normally be overseen by the Chair and one other office bearer, with support from the Company Secretary.

- A.15** The Chair and other office-bearers, with any support they feel necessary, will brief the appointed advisor/investigator and then consider their recommendations at the end of the investigation, before reporting to the Board. The Association should always provide the investigator with a written brief that sets out the nature of the complaint and of the investigation to be carried out, as well as a timescale for completion and reporting. The brief may refer to any action previously taken that is relevant. Investigations should not usually take more than six weeks to conclude. The advisor/investigator will normally present their report to the Board.
- A.16** Any investigation of a potential breach should be notified to the individual concerned within seven days of the decision to investigate. The Board Member must be notified in writing of the nature of the complaint and the arrangements proposed for investigation.
- A.17** The Board Member whose conduct is being investigated will not be party to any of the discussions relating to the investigation. Any Board Member who is the subject of a complaint is expected to co-operate with any investigation carried out. The Board should agree to grant leave of absence to a member who is the subject of a complaint whilst an investigation is carried out.
- A.18** A meeting of the Board will be held to consider the report and recommendations from the investigation and to determine what action should be taken against any individual who is found to have been in breach of the Code.
- A.19** The Board will report the findings of the investigation and the proposed action to the member concerned within seven days of the meeting at which the report of the investigation was considered.
- A.20** Where, following an investigation, it is concluded that a serious breach has occurred, the Board may require the member to stand down from their position in accordance with the Rules.
- A.21** If the Board proposes to remove a member, following investigation, the member will have the right to address the full Board before their decision is taken at a special meeting called for that purpose. Any such decision must be approved by a majority (two thirds) of the remaining members of the Board, in accordance with Rule 44.5⁹

Complaints involving the Chair

- A.22** A potential breach of the Code by the Chair will be notified to the Board by the Vice Chair within seven working days of receipt of the complaint. The Vice Chair will refer the Board's decision and the information required by the

⁹ In the 2013 Model Rules, a majority of the remaining members must agree to the removal of a member but, in some earlier versions of the Rules, the requirement is for two-thirds of the remaining members to agree: the appropriate reference should be inserted here.

Company Secretary in order to submit the notice. The notice will include a report on the proposed arrangements for investigation and a recommendation of a suitable person to carry out the investigation. It will not describe the detail of the complaint.

A.23 Where the potential breach relates to the Chair an independent investigation should be carried out. A Sub Committee of the Board will be established to oversee the investigation. A Chair of the Sub Committee will be appointed as the main point of contact for the independent investigator. The Sub Committee will not include any Board member involved in the investigation e.g. witness, etc.

A.24 Any investigation of a potential breach should be notified to the Chair within seven days of the decision to investigate. The notification will be given in writing outlining the nature of the complaint and the arrangements proposed for investigation.

A.25 Sections A18 to A21 apply equally to the Chair

Action to Deal with a Breach

A.25 If, following investigation, a breach of the Code is confirmed, action will be taken in response. This action will reflect the seriousness of the circumstances. It may take the form of some or all of the following:

- an informal discussion with the member concerned
- advice and assistance on how his or her conduct can be improved
- the offer of training or other form of support
- a formal censure
- a vote to remove the Member from the Board

A.26 The outcome of any investigation will be notified to the Scottish Housing Regulator.

Definitions

A.27 The Association will regard the following actions as a “serious breach” of the Code (this list is not exhaustive):

- Failure to act in our best interests and/or acting in a way that undermines or conflicts with the purposes for which we operate.
- Support for, or participation in, any initiative, activity or campaign which directly or indirectly undermines or prejudices our interests or those of our service users, or our contractual obligations.
- Accepting a bribe or inducement from a third party designed to influence the decisions we make.
- Consistent or serious failure to observe the terms of the Code.

Approval and Review

A.28 This protocol was approved by the Board of The Association on ____ 2018. It will be reviewed immediately following its implementation to deal with a potential breach or not later than ____ 2021, whichever is the earlier.